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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
The Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.UTILITY
PATENT APPLICATION
TRANSMITTAL

(and for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	0756-2345
First Inventor	Shunpei YAMAZAKI et al
Title	SEMICONDUCTOR DEVICE AND METHOD OF FABRICATING THE SAME
Express Mail Label No	

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)

(Submit on original and a duplicate for fee processing)

2. ☐ Applicant claims small entity status.

See 37 CFR 1.27.

3. ☒ Specification [Total Pages 27]

(preferred arrangement set forth below)

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) Figs. 1A-5 [Total Sheets 5]

5. Oath or Declaration [Total Sheets 2]

a. ☐ Newly executed (original or copy)b. ☒ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 13 completed)i. ☐ DELETION OF INVENTOR(S)Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b)6. ☒ Application Data Sheet. See 37 CFR 1.76ADDRESS TO: Commissioner for Patents
Box Patent Application
Washington, DC 202317. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)a. ☐ Computer Readable Form (CRF)

b. Specification Sequence Listing on:

- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper

c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))10. ☐ 37 CFR 3.73(b) Statement ☐ Power of
(when there is an assignee) Attorney11. ☐ English Translation Document (if applicable)12. ☒ Information Disclosure ☐ Copies of IDS
Statement (IDS)/PTO-1449 Citations13. ☐ Preliminary Amendment14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)16. ☐ Request and Certification under 35 U.S.C. 122
(b)(2)(B)(i) Applicant must attach form PTO/SB/35
or its equivalent.17. ☒ Other Notice of Change of Name and Address18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,
or in an Application Data Sheet under 37 CFR 1.76:☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP)of prior application No. 09/848,307 filed May 4, 2001 which
itself is a Divisional of Serial No. 09/334,645 filed June 17, 1999 now U.S. Patent No. 6,232,621, which itself is a Divisional of
08/821,656 filed March 20, 1997 now U.S. Patent No. 5,985,741, which itself is a Continuation of Serial No. 08/486,218 filed June 7,
1995 now abandoned, which is a Continuation-in-Part of Serial No. 08/195,713 filed February 14, 1994 now abandoned.

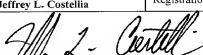
Prior application information.

Examiner S-Huu

Group / Art Unit 2811

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under
Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The
incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label		09/11-22204		or <input checked="" type="checkbox"/> Correspondence address below	
(Insert Customer No. or Attach bar code label here.)					
Name	Jeffrey L. Costella				
Address	NIXON PEABODY LLP				
	8180 Greensboro Drive, Suite 800				
City	Mel can	State	VA	Zip Code	22102
Country	United States	Telephone	(703) 790-9110	Fax	(703) 883-0370
Name (Print/Type)	Jeffrey L. Costella		Registration No. (Attorney/Agent)		
Signature				Date	7/31/01

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any
comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark
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Patent Application, Washington, DC 20231.

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**FEE TRANSMITTAL
FOR FY 2001**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)**950.00**

Application Number

Complete if Known**Not Yet Assigned**

Filing Date

July 31, 2001

First Named Inventor

Shunpei YAMAZAKI et al

Examiner Name

S. Hu

Group Art Unit

2811

Attorney Docket No.

0756-2345**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to

Deposit
Account
Number**19-2380 0756-2345)**Deposit
Account
Name**NIXON PEABODY LLP
8180 Greensboro Drive Suite 800
McLean, Va. 22102**

- ☒
- Charge Any Additional Fee Required
-
- Under 37 CFR 1.16 and 1.17

- ☐
- Applicant claims small entity status.
-
- See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:**

- ☒
- Check
- ☐
- Credit Card
- ☐
- Money
-
- Order
- ☐
- Other

FEE CALCULATION**1. BASIC FILING FEE**

Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	710.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Resubmission filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$)**710.00****2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
13	-20** = 0	X	
Independent Claims	6	-3** = 3	X 80.00 = 240.00
Multiple Dependent			

Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Resubmission independent claims over original patent
110	18	210	9	** Resubmission claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)**240.00**

**or number previously paid, if greater; For Resubmissions, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Search charge - late filing fee or oath	
127	50	227	25	Search charge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English transaction	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or resubmission)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Sheet	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.29(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.29(b))	
179	710	249	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY

Jeffrey L. Costella

Registration No.

35,483

Complete (if applicable)

(703) 790-9110

Name (Print/Type)

Telephone

Signature

Date

7/31/01

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the New **Divisional** Application of)
Shunpei YAMAZAKI et al) Art Group: 2811
Based on US Serial No.: 09/848,307) Examiner: S. Hu
Which was filed: May 4, 2001)
For: SEMICONDUCTOR DEVICE AND) Date: July 31, 2001
METHOD OF FABRICATING THE SAME)

NOTICE OF CHANGE OF ADDRESS
and
NOTICE OF CHANGE OF NAME

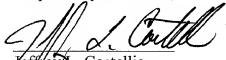
Commissioner for Patents
Washington, D.C. 20231

Sir:

Effective immediately, please note that the address and the firm name of the attorney of record in the above-referenced application has been changed. Please direct all future correspondence to:

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Respectfully submitted,


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